



Participant audio will be muted for static or other distracting noises on the line. You can type your questions into the chat box. The chat box is located on the right side of the screen. If it has a plus (+) sign next to the word “Chat” you can click on the plus sign to expand the box and enter your question or comment.

The handout from today’s session will be posted on the MOSL LSTA Grants page in the LSTA Online Grant Training Handouts section.

Session Objectives

1. Grant management basics
2. Report requirements
3. Prior approvals and amendments
4. Grant monitoring
5. Best practices



During the session we will look at:

1. Grant management basics, such as how to accept the grant
2. LSTA Grant program and reporting requirements
3. When the final report is due and what's expected in the report
4. Prior approvals that are needed before purchasing an item and when and how to apply for an amendment
5. What is grant monitoring and why and how is it conducted
6. Best practices that help bring projects to successful conclusion



GRANT MANAGEMENT BASICS

Accepting the Grant

- ▶ Sign and return one copy of the grant acceptance form
- ▶ Retain a copy of the signed grant acceptance form in your file
- ▶ Grant documents can be returned via email, fax or mail:

- ▶ Email Address: LSTA@sos.mo.gov

- ▶ Fax Number: (573) 751-3612

- ▶ Mailing Address:

LSTA Grants Officer

Technology Mini-Grant

Missouri State Library

600 West Main Street, P.O. Box 387

Jefferson City, MO 65102-0387



To accept the grant, you need to sign and return the grant acceptance form to the State Library within 10 business days of receipt. Be sure to keep a copy of the signed grant acceptance form in your files as well. Typically we see the Library Director signature on this form, but the signee may vary based on your library's bylaws on who is an authorized signer.

By accepting the grant funds, recipients agree to be bound by all applicable public policy requirements, many of which were included by reference in the grant application and award packet. Failure to comply with these requirements may result in suspension or termination of the award and government recovery of funds. Failure to comply could also result in civil or criminal prosecution.

Grant Timeline

- ▶ Begins: March 1, 2020
- ▶ Ends: August 15, 2020
- ▶ Final Report Due: September 15, 2020



The start date for the Tech-Mini grant is March 1, 2020

DO NOT PLACE ANY ORDERS OR PURCHASE ANY MATERIALS BEFORE March 1, 2020. IF YOU DO, THOSE COSTS BECOME A LOCAL EXPENSE; LSTA FUNDS CANNOT BE USED FOR THEM.

The end date of the grant period is August 15, 2020. All services should be rendered and all items received and operational by this date.

The final report is due September 15, 2020. By this date, all funds should be spent.

It is fine to submit the final report early as long as you have adequate data with which to assess project impact.

Award and Forms Packets

- ▶ The award packet is in PDF format and was sent via email. It includes:
 - Grant acceptance form
 - Budget memo
 - Payment requests
- ▶ The forms packets are available online

The award packets were emailed to the Library Director and Project Director (if different) it includes the grant acceptance form, budget memo and payment requests forms.

The forms packet is available on our website on the LSTA grants page under the heading LSTA Grant Report Forms, titled Technology Mini-Grant Final Report.

Be sure to include your name and grant project number on each report. Don't forget to submit the request for final payment form from the award packet when it is time to submit the final report.

You may submit the Request for First Payment after the start of the grant period AND you anticipate you will need to begin spending those funds within 45 days. The Request for Final Payment must be submitted with your Final Report. Note, the payment request forms are ONLY available in your award packet.

Promotional Efforts

► Acknowledgement Text:

"This project is supported by the Institute of Museum and Library Services under the provisions of the Library Services and Technology Act as administered by the Missouri State Library, a division of the Office of the Secretary of State."

► Social Media Funding Acknowledgement:

- use the hashtag #IMLSgrant, which is followed by IMLS
- When mentioning on Facebook: @Institute of Museum and Library
- When mentioning in a tweet: @US_IMLS

► See the IMLS Communications Kit at

<https://www.imls.gov/grants/grant-recipients/grantee-communications-kit>



In your grant agreement, there is language to use to acknowledge the funding source for your project. Promotional items such as newspaper articles, flyers, brochures, and surveys must acknowledge the grant funding.

The full IMLS acknowledgment text is: "This (project/publication/activity) is supported by the Institute of Museum and Library Services under the provisions of the Library Services and Technology Act as administered by the Missouri State Library, a division of the Office of the Secretary of State". It is permissible to use a shortened statement when there are space constraints. If this is needed, IMLS prefers that you drop the phrase Library Services and Technology Act instead of Institute of Museum and Library Services.

Also, IMLS has rules for acknowledging grant funding when promoting projects on Social Media. In this case, IMLS requires:

- **The use of the hashtag #IMLSgrant, which is followed by IMLS**
- **If the library promotes a grant funded project or program on Facebook it is required to acknowledge IMLS through the use of @Institute of Museum and Library Services.**
- **If the library promotes a grant funded project or program on Twitter it is required to acknowledge IMLS through the use of @US_IMLS .**

The Institute of Museum and Library Services has a Communications Kit to guide you in your promotional efforts. It includes:

- IMLS acknowledgement requirements
- The grant announcement process and how to benefit
- Tips for sharing your news with the public
- **And** IMLS logos, including their appropriate use

When to Survey Participants

► Survey Patrons:

- When project has a training component
- When the project involves educational software

► Survey Staff:

- When project has a training component
- When the project involves educational software
- When the project involves planning and/or evaluation

Survey Guidance:

<https://www.sos.mo.gov/CMSImages/LibraryDevelopment/2018SurveyGuidelines.pdf>

The Institute of Museum and Library Services (also known as IMLS) has developed mandatory survey questions to help libraries gather meaningful project data that can then be used for comparison nationwide.

Libraries may add additional questions to the sample surveys, as long as they maintain all of the required questions, as well as the IMLS acknowledgment. If you alter the sample survey, you must have the new version approved by Missouri State Library staff. Those surveys can be sent for approval with the grant application, or they can be sent for review at a later date if they were not ready by the application deadline.

Patrons:

Example = part of grant included hiring an instructor to teach computer classes in a newly outfitted lab

Example = AWE station

Staff:

Example = New tech to conduct oral history interview and you brought in a trainer to instruct staff on how to conduct interviews

Example = AWE station, new app, new database

Example = Hired a consultant to guide your group through a new tech plan.

Program Vs Presentation

❖ Instructional Program

- Active user engagement
- Typically has hands-on learning experiences
- Patron survey required

❖ Instructional Presentation

- Passive user engagement
- Low/no interactivity beyond Q/A
- Does NOT require a patron survey

The difference between a program and a presentation is the involvement level of staff with the patron. If library staff is actively engaged with the users, then this would be a program and would require a survey. If library staff is passively engaged with the user, then this does not require a survey.



GRANT MANAGEMENT

Report Requirements

► Payment Request Forms

► First Payment

- Enter full first payment amount
- Must need to start using funds within 45 days
- **CANNOT be dated prior to the start of the grant period**

► Final Payment

- Enter exact final payment amount
- Submit with final report

First payment cannot be requested until all of these following conditions are met:

- The grant period has started
- You have actually ordered items or contracted services
- You need to make payments with those funds within 45 days

Please remember to submit your Final payment request with your final report!

Be sure your request for final payment is based on actual costs. If a local match is involved, be sure you round down the LSTA share to the nearest penny. If you do not spend all of the funds you were awarded for allowable costs, adjust the final payment total by subtracting the amount not spent (the "LSTA Unspent Balance" on your financial report) from the final payment total. In the event you did not spend all of the funds from the first payment, remaining dollars will need to be returned to the State Library. Be sure your request for final payment is based on exact costs, and Do NOT round.

PLEASE MONITOR YOUR BUDGET CLOSELY THROUGHOUT THE GRANT PERIOD SO YOU DO NOT UNDERSPEND YOUR AWARD.

Report Requirements

Budget Category	LSTA Amount Approved	LSTA Amount Spent	LSTA Unspent Balance (To be subtracted from final payment amount)
Equipment (Items with a single unit cost of \$5,000 or more) -25% minimum local match required. -50% local match for items with a per unit cost of \$10,000 or higher			
Personnel (including salaries, wages, and benefits)			
Services, including Software			
Supplies, including technology below \$5,000 per unit			
Indirect Cost Rate			
TOTAL			

On the Financial Report:

Report only LSTA funds spent in the chart. Please use EXACT figures. ROUND DOWN TO THE NEAREST PENNY FOR LSTA.

Under the LSTA Amount Approved column enter the amounts awarded in each category as listed on the Budget Memo in the award packet. Equipment is defined as items with a single unit cost of \$5,000 or more. A 25% minimum local match is required. There is a 50% local match required for items with a per unit cost of \$10,000 or more.

The Services category is for services provided by a third-party contractor or vendor for expertise **other than** managing the project. Examples of services include training providers, program presenters, and outside IT support. Also include any software purchased for the project under Services.

Supplies – Supplies includes hardware such as computers, printers, and whiteboards with a per item cost under \$5,000, and other items such as cables, wall rack, mailing supplies, etc.

Report Requirements

□ Payment Summary

- List invoices separately
- Include both local and LSTA expenditures
- Arrange by budget category
- Retain all original invoices for your grant files

Payment Summary –

This form is where you track the use of both LSTA and local funds.

List expenditures by budget category and use exact costs. Be sure that the match requirement is calculated correctly. ***Be specific as to the number of hours worked, number of items purchased, etc.*** (e.g., 22 Computers, 10 hours of IT support, etc).

Retain all original invoices for your grant files.

It is generally best if supply purchases are paid directly to the vendor and **NOT** reimbursed to the project director or some other library staff person

If your award included Personnel, be sure you keep timesheets tracking personnel hours. Libraries using funds to pay for additional staff hours need to maintain in the grant folder documentation that shows the time paid to employee was spent solely on grant project tasks and not part of their regular hours. A copy of the timesheets should be kept in your grant folder. They should be signed and dated by the staff person to confirm the hours worked.

Report Requirements

► Procurement Certification

- Needed when the cost of an item or set of items meets your institution's large purchase criteria
- **State Guidelines:** Over \$3,000 in the aggregate

The **PROCUREMENT CERTIFICATION** details the bid process. This report is required when an item or set of items meets the large purchase threshold.

If your agency has a more stringent purchasing requirement than Missouri's \$3,000 in the aggregate, the local requirements must be followed.

Aggregate: The sum of the purchases of a single item or set of items. (For example if you are purchasing 3 computers at \$1,001 each, the bid process comes into place and the need for the procurement certification comes into play, since the total is over the \$3,000 threshold).

For purchases of equipment over \$3,000 in aggregate—Report the price and rate quotations you obtained through:

1. Informal Method – The informal method is requests for proposals from three or more sources obtained through fax bids; telephone bids; catalog comparison; Internet web pages, or e-mail bids.

OR

2. Formal Method – Where the bid is advertised publicly, sealed bids are received and a fixed-price contract awarded to "The responsible bidder whose bid, conforming with all the material terms and conditions of the invitation for bids, is the lowest in price."

If computers, laptops, etc. are purchased through the State Contract, additional bids from other sources are not required. Simply state on the Procurement Certification form in section 2 that the contract was awarded on the basis of State Contract.

If only one price quote is received, the library must show that there is only one source for the product, or a solicitation of price quotes failed to produce a list of interested vendors. Keep all printouts and/or photocopies of price quotes on file at your library; send us only the Procurement Certification form.

Report Requirements

► Narrative Report

- Activities
- Project changes and additions
- Project Promotion
- Project Partners
- Outputs

Answer all questions on the program narrative. Currently the single audit requirement threshold is \$750,000 expended in federal funds during the fiscal year of the grantee – City, Public Library, University, School District, etc.

ACTIVITIES: Describe what the library did during the funding period (implemented, created, accomplished). Discuss how these activities contribute to meeting the needs of the target audience.

PROJECT CHANGES and ADDITIONS: Describe any variations from the original grant application that took place throughout the project. For example: What problems, if any, were encountered in implementing the project plan, and how were they resolved? Were there any issues with the timeline? Document how the State Library was informed of and approved any major changes in the scope.

PROJECT PROMOTION: In general, how was the project promoted within the library and community and how effective were each of the efforts? In particular, what attempts were made to attract previously underserved audiences to the Library and what were the results? Also indicate how the community was informed this project was funded through an IMLS-LSTA grant. Attach copies of the promotional efforts: newspaper articles, flyers, brochures, etc. The suggested acknowledgement is *"The project was made possible in part by the Institute of Museum and Library Services and Technology Act as administered by the Missouri State Library a division of the Office of the Secretary of State".*

PROJECT PARTNERS: If applicable, this is where you will provide a list of all project partners.

OUTPUTS: What statistical measures did you record that show evidence of service delivery? How do these measures compare to the baseline data gathered prior to the project?

How to Report Programs of a Similar Nature

Group into a single entry

Name of Program	Enjoying Microsoft Office!
Program Location	In Library
Program Length	Average of 50 minutes
Number of Programs	2: Adults and Seniors
Number of Sessions	6 (three of each)
Total Attendance	57
Brief Description	A Microsoft Office certified instructor presented courses on Excel, PowerPoint, and Word (Microsoft Office 2016).

When reporting program results, group into a single entry summarizing the whole program.

Aggregate Survey Results

Total the Responses Received
into a Single Chart

		Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree
1.	I learned something by participating in this library activity.	0	7	27	33	52

As you see in the example on the slide, the survey's have been totaled into one aggregate figure for each possible answer. This is the proper way to record survey totals in the reports.

Report Requirements Continued

► Narrative Report

- Outcomes
- Importance of Findings
- Lesson Learned
- Project Continuance
- Effort Level
- Project Scope
- Other

OUTCOMES: Record the evidence that shows there were changes in behavior, skills, attitudes, life condition, status, etc. For example, if you did pre- and post-surveys maybe you found prior to project implementation 20% of users were satisfied with the computers available compared to 73% after the new computers were installed. **If a survey was used, please summarize the results.**

IMPORTANCE OF FINDINGS: Briefly summarize the importance of the outputs, outcomes, and/or other reported results. How will the findings impact **future planning** for your technology projects?

LESSONS LEARNED: Describe any significant lessons learned for others wanting to adopt any facet of this project.

PROJECT CONTINUANCE: Do you anticipate continuing this project after the funding period ends? Please describe. For example, the project may continue in that the computer and software purchased through the grant will continue to be available for use.

EFFORT LEVEL: Will the level of effort change when the grant period ends. If so, how will it change? Perhaps your level of effort will be to perform regular updates and maintenance yourself or you will purchase an annual maintenance contract for the equipment using local funds.

PROJECT SCOPE: Will the scope of the project change following the end of the funding period? For example, you will probably have a change in scope from purchasing and installing equipment to maintaining equipment.

OTHER: Other comments as appropriate.



PRIOR APPROVALS AND AMENDMENTS

Prior Approvals

- ▶ If you did not have complete estimated costs for project expenses, be sure you have these items reviewed and approved before committing LSTA funds to pay for the item(s).



If you did not have complete estimated costs for project expenses, be sure you have these items reviewed and approved before committing LSTA funds to pay for the item(s).

If you change make or model of a computer or laptop to be purchased through the grant, make sure the new model meets or exceeds minimum specifications recommended by the State Library. If you have any questions regarding this, feel free to contact either Janet Caruthers, or me. We will review them with you. We want to make sure you are eligible for the full amount of grant funding awarded to your library.

If you needed prior approval, this information was included in your Awards Packet you received on the Budget Memo page.

Request for Amendment

▶ A formal amendment is needed for:

- Budget changes
 - Moving over \$1,000 between existing budget categories
 - Moving any funds into a budget category a not in the grant award
 - Needing to use LSTA funds for items not specifically listed in your grant application
 - Needing additional funds

A formal amendment is REQUIRED for the following:

➤ Budget changes

- Moving over \$1,000 or more between existing budget categories
- Moving any funds into a budget category not in the grant award
- Needing to use LSTA funds for items not specifically listed in your grant application.
- Requesting additional funds – MUST require AT LEAST \$500 in LSTA funds before the request will be granted. Don't forget to apply any local match requirement for the new item(s). If you are unsure of the match requirement, give us a call or send us an email.

Financial issues are not the only reason an amendment may be needed...

Request for Amendment

- ❑ Extension of the grant period
- ❑ A formal amendment may also be needed for:
 - Programmatic changes
- ❑ No amendment needed, but do let us know about:
 - Changes in key personnel
 - Changes in subcontractor

An amendment is also **REQUIRED** to extend the grant period. Note, because the grant period ends close to the end of the federal fiscal year it is **HIGHLY UNLIKELY** a request to extend the grant period will be granted.

A formal amendment is needed for significant changes in the project's scope or objectives.

An informal amendment is okay for minor changes in scope or objectives. This can be handled through an email correspondence.

No amendment is needed, but please let us know about changes in key personnel or subcontractor.

Request for Amendment

- ▶ Remember

- Changes must be approved before committing LSTA funds
- Do not assume you will receive reimbursement of local funds if you pay for something before the amendment is fully in place

If you are going to request an amendment, please wait until you receive approval of the amendment before spending any funding related to the amendment.

Request for Amendment

- Submitted at least 3 weeks before the end of the grant period
- Filled out completely including reasons for the change
- Must be fully executed before placing any orders, etc.
- Online on the Library Development Grant Programs site
<https://www.sos.mo.gov/library/development/lstagrants>

Amendment requests must be

- Submitted at least 3 weeks before the end of the grant period
- Filled out completely including reasons for the change
- Must be fully executed (all signatures in place) before placing any orders, etc.

The form is available online on the MOSL LSTA Grant Programs page in the LSTA Grant Report forms section.



GRANT MONITORING

Contents of Grant File

- Original Application
- Signed Grant Agreement Form
- Signed Grant Agreement Form
- Signed Grant Acceptance Form
- Payment Requests
- Interim and Final reports
- Outstanding Report and Payment Forms
- Invoices
- Market Analysis Documentation
- Bid Process Documentation

In the past, 15% of grants awarded received an onsite visit, but now it has been lowered to 10%. We awarded 26 **Technology Mini Grants**, so we will be conducting 3 **onsite visits**. We choose the libraries based on experience of the library in managing grants, uniqueness or complexity of the program, interest in observing operation of the equipment first-hand, irregularities in correspondences, library request, and sometimes location or timing. If you are new to the grant process, the visit may occur early in the grant period so we can go over the library's grant management responsibilities. NOTE: While we are no longer required to review your grant files on a grant support visit, it is important to have organized files.

Contents of Grant File

- Promotional Materials
- Documentation of Contacts with the State Library staff
- Evaluation Measures: statistics, surveys, observation reports, etc...
- Amendment Documentation, if applicable
- Payroll documentation, if applicable
- Travel documentation, if applicable

Findings: Our goal with the grant support visits is to help you keep the project in compliance with LSTA rules and regulation, learn about your project's progress and the impact it has had firsthand, gather ideas and best practices to share statewide, and hear about future hopes and dreams and how the State Library may be of assistance.



Best Practices

- ❑ Create a file folder for all paperwork related to the grant
- ❑ Keep track of your budget on an ongoing basis
- ❑ Know what you need to count and why
- ❑ Monitor changes in your technology users
- ❑ Periodically review your application

- ❑ Create a file folder for all paperwork related to the grant: 3-ring binder with tabs dividing the sections is highly recommended.
- ❑ Monitor your budget on an ongoing basis
- ❑ Know what you need to count and why
 - Baseline – Current stats or stats from prior years
 - Number of programs held and attendance
 - Circulation statistics
 - Be able to compare the stats and interpret how changes (or lack thereof) speak to project impact
- ❑ Monitor changes in your participants regarding skills, attitude, etc.

If you plan to use a survey, it **MUST** be reviewed and approved by the State Library before it is implemented. All surveys submitted with the applications may be considered to be approved unless otherwise noted in your grant award packet.
- ❑ Periodically review your application to be sure you accomplished everything listed and in the timeframe desired.

Best Practices

- ☐ Watch for project changes
- ☐ Keep all original invoices, timesheets and travel logs
- ☐ Make copies of all forms you send
- ☐ Answer all the questions; fill in all the blanks
- ☐ File all reports on or before the deadline

- Watch for project changes, especially if they will require a formal amendment
- Keep all original invoices, timesheets and travel records in case you are audited
- Make copies of all forms you send to the State Library – just in case they get lost in transition
- Answer all the questions; fill in all the blanks
- File all reports on or before the deadline

Yes, you may submit the final report early if the project activities are complete and all evaluation measures have been gathered and analyzed.



Questions

Contact Information

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Janet Caruthers
Technology and Resource Sharing Consultant
Telephone: 573-526-1087
Email: janet.caruthers@sos.mo.gov

TOLL-FREE NUMBER: 800-325-0131



Don't hesitate to contact us if you have any questions about how to manage the grant.

When you exit today's session, you will be prompted to complete a short survey. Please take the time to do so. This helps us to know if our sessions are helpful, and how we can improve them.